

OMB NO. 1820-0550
Expires: 08/31/2012

**ANNUAL STATE APPLICATION UNDER PART C OF THE
INDIVIDUALS WITH DISABILITIES EDUCATION ACT AS AMENDED IN 2004
FEDERAL FISCAL YEAR 2010**

CFDA No. 84.181A

ED FORM No. 1 B20--26P

**UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION PROGRAMS
Washington, DC 20202-2600**

Section I

A. Submission Statements for Part C of IDEA

Select 1 or 2 below. Check 3 if appropriate.

1. ☐ The State's policies, procedures, methods, descriptions, and assurances meet all application requirements of Part C of the Act as found in PL 108-446, the Individuals with Disabilities Education Improvement Act of 2004 and applicable regulations (IDEA). The State is able to provide and/or meet all policies, procedures, methods, descriptions, and assurances, found in Sections II.A and II.B of this Application.

By selecting this submission statement the State has submitted the new and/or revisions to State policies, procedures, methods, and descriptions that meet all requirements found in Section II.A.
2. ☒ The State cannot provide policies, procedures, methods, descriptions, and/or assurances for all application requirements of Part C of the Act as found in PL 108-446, the Individuals with Disabilities Education Improvement Act of 2004. The State has determined that it is unable to provide the policies, procedures, methods, descriptions, and/or assurances that are checked 'No' in Sections II.A and II.B. However, the State assures that throughout the period of this grant award the State will operate consistent with all requirements of IDEA in PL 108-446 and applicable regulations. The State will develop and/or make such changes to existing policies, procedures, methods, descriptions, and assurances as are necessary to bring the policies, procedures, methods, descriptions, and assurances into compliance with the requirements of IDEA, as amended, as soon as possible, and not later than June 30, 2011. The State has included the date by which it expects to complete necessary changes associated with policies, procedures, methods, descriptions, and assurances marked 'No'. The items checked 'Yes' are enclosed with this application.¹

Optional:

3. ☐ The State is submitting new or modified State policies and procedures previously submitted to the Department and has checked, under Section II.A, the appropriate 'R' cell(s) found in the 'Yes' column. These modifications are: (1) deemed necessary by the State, for example when the State revises applicable State law or regulations; (2) required by the Secretary because there is a new interpretation of the Act or regulations by a Federal court or the State's highest court; and/or (3) because of an official finding of noncompliance with Federal law or regulation.

B. Conditional Approval for Current Grant Year

If the State received conditional approval for the current grant year, check the appropriate statement(s) below:

1. Conditional Approval Related to Assurances in Section II.A:

- ☐ a. Sections II.A and II.B provide documentation of completion of all issues identified in the FFY 2009 conditional approval letter.
- ☒ b. As noted in Sections II.A and II.B, the State has not completed all issues identified in the FFY 2009 conditional approval letter.

2. Conditional Approval Related to Other Issues:

- ☐ a. The State previously submitted documentation of completion of all issues identified in the FFY 2009 conditional approval letter.
- ☐ b. The State is attaching documentation of completion of all issues identified in the FFY 2009 conditional approval letter. *(Attach documentation showing completion of all issues.)*
- ☐ c. The State has not completed all issues identified in the FFY 2009 conditional approval letter. *(Attach documentation showing completion of any issues and a list of items not yet completed.)*

¹ If Option 2 is checked, the State is to provide dates in Sections II.A and II.B as to when the required policies, procedures, methods, descriptions, and assurances will be provided, which date can be no later than June 30, 2011. The State will be granted conditional approval until it can provide all policies, procedures, methods, descriptions, and assurances.

Section II

A. State Policies, Procedures, Methods, and Descriptions

As checked below, the State hereby declares that it has or has not filed the following policies, procedures, methods, and descriptions with the U.S. Department of Education, and, as of the date of the signature below, affirms and incorporates by reference those policies, procedures, methods, and descriptions with respect to Part C of PL 108-446.

Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
Yes (If New or Revised is checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)		No (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2011.)		
N	R	OF		State Policies, Procedures, Methods, and Descriptions
				State Policies and Procedures
		X		1. As required in 20 U.S.C. 1432(5)(A) and 1435(a)(1), the State has provided its policies and/or procedures regarding the State's definition of 'developmental delay' to ensure that a rigorous definition of the term 'developmental delay' will be used by the State in carrying out programs under this Part in order to appropriately identify infants and toddlers with disabilities that are in need of services under Part C.
			JUNE 30,2011	2. As required in 20 U.S.C. 1437(a)(6), the State has provided its policies and procedures that require the referral for early intervention services under this part of a child under the age of 3 who - (A) is involved in a substantiated case of abuse or neglect; or (B) is identified as affected by illegal substance abuse, or withdrawal symptoms resulting from prenatal drug exposure.
			JUNE 30,2011	3. As required in 20 U.S.C. 1437(a)(9)(A), the State has provided its policies and procedures that ensures a smooth transition for toddlers receiving early intervention services under this part (and children receiving those services under by 20 U.S.C 1435(c)) to preschool, school, other appropriate services, or exiting the program, including a description of how: (i) the families of such toddlers and children will be included in the transition plans required 20 U.S.C. 1437(a)(9)(C); and (ii) the lead agency designated or established under 20 U.S.C. 1435(a)(10) will (I) notify the local educational agency for the area in which such a child resides that the child will shortly reach the age of eligibility for

<i>Check and enter date(s) as applicable. Enclose relevant documents.</i>			<i>N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
<p style="text-align: center;">Yes</p> <p style="text-align: center;">(If New or Revised is checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)</p>			<p style="text-align: center;">No</p> <p style="text-align: center;">(Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2011.)</p>	
N	R	OF		State Policies, Procedures, Methods, and Descriptions
				<p>preschool services under Part B, as determined in accordance with State law; (II) in the case of a child who may be eligible for such preschool services, with the approval of the family of the child, convene a conference among the lead agency, the family, and the local educational agency not less than 90 days (and at the discretion of all such parties, not more than 9 months) before the child is eligible for the preschool services, to discuss any such services that the child may receive; and (III) in the case of a child who may not be eligible for such preschool services, with the approval of the family, make reasonable efforts to convene a conference among the lead agency, the family, and providers of other appropriate services for children who are not eligible for preschool services under Part B, to discuss the appropriate services that the child may receive.</p>
		X		<p>4. As required in 20 U.S.C. 1437(a)(9)(B), the State has provided its policies and/or procedures to ensure review of the child's program options for the period from the child's third birthday through the remainder of the school year.</p>
			JUNE 30,2011	<p>5. As required in 20 U.S.C. 1437(a)(9)(C), the State has provided its policies and/or procedures to ensure the establishment of a transition plan, including, as appropriate, steps to exit from the program.</p>
				Optional Policies/Methods
				<p>Type in 'NA' for not applicable under 'No' in the cells to the left if the State has not exercised this option.</p>
			'NA'	<p>6. As required in 20 U.S.C. 1437(a)(4), if the State provides services to at-risk infants and toddlers through the statewide system, the State has provided its: 1) description of services to at-risk infants and toddlers, and 2) definition of 'at-risk' under 20 U.S.C. 1432(5)(B)(i).</p>

<i>Check and enter date(s) as applicable. Enclose relevant documents.</i>			<i>N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE</i>			
Yes (If New or Revised is checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)		No (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2011.)				
N	R	OF				
State Policies, Procedures, Methods, and Descriptions						
		X	<i>Enter 'NA' in the cells to the left if the State does not have a system of payment. (See Section IV.A)</i> 7. As required in 20 U.S.C. 1432(4)(B) and 1437(a)(3)(A), the State has provided its policies and/or procedures that identify the State's system of payments for Part C services.			
			'NA'	<i>Enter 'NA' in the cells to the left if this statement is not applicable; otherwise check the 'N' cell under the 'Yes' column and attach all policies.</i> 8. As described in 20 U.S.C. 1435(c) the State has provided its policy, developed and implemented jointly by the lead agency and the State educational agency, under which parents of children with disabilities who are eligible for services under 20 U.S.C. 1419 and who previously received services under Part C, may choose the continuation of early intervention services (which includes an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills) for such children under Part C until such children enter, or are eligible under State law to enter, kindergarten. The statewide system ensures that-- (A) parents of children with disabilities served pursuant to 20 U.S.C. 1435(c) are provided annual notice that contains-- (i) a description of the rights of such parents to elect to receive services pursuant to 20 U.S.C. 1435(c) or under Part B; and (ii) an explanation of the differences between services provided pursuant to 20 U.S.C. 1435(c) and services provided under Part B, including-- (I) types of services and the locations at which the services are provided; (II) applicable procedural safeguards; and (III) possible costs (including any fees to be charged to families as described in 20 U.S.C. 1432(4)(B)), if any,		

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<p style="text-align: center;">Yes</p> <p style="text-align: center;">(If New or Revised is checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)</p>			<p style="text-align: center;">No</p> <p style="text-align: center;">(Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2011.)</p>	
N	R	OF	State Policies, Procedures, Methods, and Descriptions	
			<p style="text-align: right;">to parents of infants or toddlers with disabilities;</p> <p>(B) services provided pursuant to 20 U.S.C. 1435(c) include an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills;</p> <p>(C) the State policy will not affect the right of any child served pursuant to 20 U.S.C. 1435(c) to instead receive a free appropriate public education under Part B;</p> <p>(D) all early intervention services outlined in the child's individualized family service plan under 20 U.S.C. 1436 are continued while any eligibility determination is being made for services under 20 U.S.C. 1435(c);</p> <p>(E) the parents of infants or toddlers with disabilities (as defined in 20 U.S.C. 1432(5)(A)) provide informed written consent to the State, before such infants or toddlers reach 3 years of age, as to whether such parents intend to choose the continuation of early intervention services pursuant to 20 U.S.C. 1435(c) for such infants or toddlers;</p> <p>(F) the requirements under 20 U.S.C. 1437(a)(9) shall not apply with respect to a child who is receiving services in accordance with 20 U.S.C. 1435(c) until not less than 90 days (and at the discretion of the parties to the conference, not more than 9 months) before the time the child will no longer receive those services; and</p> <p>(G) there will be a referral for evaluation for early intervention services of a child who experiences a substantiated case of trauma due to exposure to family violence (as defined in section 320 of the Family Violence Prevention and Services Act).</p> <p>The State shall submit to the Secretary, in the State's report under 20 U.S.C. 1437(b)(4)(A), a report on the number and percentage of children with disabilities who are eligible for services under 20 U.S.C. 1419 but whose parents choose for such children to continue to receive early intervention services under IDEA section 635(c).</p>	

Check and enter date(s) as applicable. Enclose relevant documents.			N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE	
Yes (If New or Revised is checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			No (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2011.)	
N	R	OF		State Policies, Procedures, Methods, and Descriptions
				<p>The policy shall include a description of the funds (including an identification as Federal, State, or local funds) that will be used to ensure that the option described 20 U.S.C. 1435(c)(1) is available to eligible children and families who provide the consent described in 20 U.S.C. 1435(c)(2)(E), and which description will identify fees (if any) to be charged to families as described in 20 U.S.C. 1432(4)(B).</p> <p>In accordance with 20 U.S.C. 1435(c)(5)(A), when providing services to a child with a disability who is eligible for services under 20 U.S.C. 1419, the State is not required to provide the child with a free appropriate public education under Part B for the period of time in which the child is receiving services under Part C.</p>
			'NA'	<p><i>Enter 'NA' in the cells to the left if this statement is not applicable; otherwise check either the 'N' or 'R' cell under the 'Yes' column and attach appropriate written methods. See the Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i></p> <p>9. The State has chosen to meet the requirement to establish financial responsibility for early intervention services under 20 U.S.C. 1440(b)(1) through 'appropriate written methods' under 20 U.S.C. 1440(b)(3)(C) other than State statute or regulation or signed interagency agreements.</p>
				Descriptions
		X		10. As required by Section 427 of the General Education Provisions Act (GEPA), the State has identified barriers and developed strategies to address the barriers and has provided a description of the steps the State is taking to ensure equitable access to, and participation in, Part C of IDEA by infants, toddlers, and children with disabilities and their families and other Part C program beneficiaries.
		X		11. As required in 20 U.S.C. 1437(a)(3)(B), the State has provided a description of early intervention services to be provided to infants and toddlers with disabilities and their families through the

<i>Check and enter date(s) as applicable. Enclose relevant documents.</i>			<i>N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
Yes (If New or Revised is checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)			No (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2011.)	
N	R	OF		State Policies, Procedures, Methods, and Descriptions
				statewide early intervention system.
X				12. As required in 20 U.S.C. 1437(a)(5), the State has provided a description of the uses for which funds will be expended in accordance with Part C. <i>(See Section III. If the State is submitting a completed Section III, check 'N' under the 'Yes' column to the left.)</i>
		X		13. As required in 20 U.S.C. 1437(a)(7) the State has provided a description of the procedures used to ensure that resources are made available under Part C for all geographic areas within the State.
		X		14. As required in 20 U.S.C. 1437(a)(8), the State has provided a description of the policies and procedures used to ensure that, prior to the adoption by the State of any other policy or procedure necessary to meet the requirements of Part C, there are public hearings, adequate notice of the hearings, and an opportunity for comment available to the general public, including individuals with disabilities and parents of infants and toddlers with disabilities.
			JUNE 30, 2011	15. As required in 20 U.S.C. 1437(a)(10), the State has provided a description of State efforts to promote collaboration among Early Head Start programs under section 645A of the Head Start Act, early education and child care programs, and services under Part C of IDEA.

B. Assurances and Optional Assurance

The State makes the following assurances and provisions as required by Part C of the Individuals with Disabilities Education Act. (20 U.S.C. 1431 et.seq.)

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes <i>(Assurance is hereby provided.)</i>	No <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i>	
X		1. As applicable, the assurance found in OMB Standard Form 424(B) (Assurances for Non-Construction Programs), relating to legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood insurance; environmental standards; wild and scenic river systems; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and general agreement to comply with all Federal laws, executive orders and regulations is in place.
X		2. The State has adopted a policy that appropriate early intervention services are available to all infants and toddlers with disabilities in the State and their families, including Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State, infants and toddlers with disabilities who are homeless children and their families, and infants and toddlers with disabilities who are wards of the State; and has in effect a statewide comprehensive, coordinated, multidisciplinary, interagency system to provide early intervention services, for infants and toddlers with disabilities and their families, that meet the requirements of 20 U.S.C 1401, and 1431 through 1443. <i>See the Optional Technical Assistance Checklist for the full provisions of 1401 and 1432.</i>
X		3. The State has in effect a policy that ensures that appropriate early intervention services based on scientifically based research, to the extent practicable, are available to all infants and toddlers with disabilities and their families, including Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State and infants and toddlers with disabilities who are homeless children and their families in accordance with 20 U.S.C. 1435(a)(2).
X		4. The State has in effect a timely, comprehensive, multidisciplinary evaluation of the functioning of each infant or toddler with a disability in the State, and a family-directed identification of the needs of each family of such an infant or toddler, to assist appropriately in the development of the infant or toddler in accordance with 20 U.S.C. 1435(a)(3).

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes <i>(Assurance is hereby provided.)</i>	No <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i>	
X		5. For each infant or toddler with a disability in the State, the State has an individualized family service plan in accordance with 20 U.S.C. 1436, including service coordination services in accordance with such service plan. (20 U.S.C. 1435(a)(4)) See <i>Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1436.</i>
X		6. The State has a comprehensive child find system, consistent with Part B, including a system for making referrals to service providers that includes timelines and provides for participation by primary referral sources and that ensures rigorous standards for appropriately identifying infants and toddlers with disabilities for services under this part that will reduce the need for future services. (20 U.S.C. 1435(a)(5))
X		7. The State has a public awareness program focusing on early identification of infants and toddlers with disabilities, including the preparation and dissemination by the lead agency designated or established under 20 U.S.C. 1435(a)(10) to all primary referral sources, especially hospitals and physicians, of information to be given to parents, especially to inform parents with premature infants, or infants with other physical risk factors associated with learning or developmental complications, on the availability of early intervention services under Part C and of services under 20 U.S.C. 1419, and procedures for assisting such sources in disseminating such information to parents of infants and toddlers with disabilities. (20 U.S.C. 1435(a)(6))
X		8. The State has a central directory that includes information on early intervention services, resources, and experts available in the State and research and demonstration projects being conducted in the State. (20 U.S.C. 1435(a)(7))
X		9. The State has a comprehensive system of personnel development, including the training of paraprofessionals and the training of primary referral sources with respect to the basic components of early intervention services available in the State that (A) includes-- (i) implementing innovative strategies and activities for the recruitment and retention of early education service providers; (ii) promoting the preparation of early intervention providers who are fully and appropriately qualified to provide early

<i>Check and enter date(s) as applicable</i>		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes <i>(Assurance is hereby provided.)</i>	No <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i>	
		<p>intervention services under this part; and</p> <p>(iii) training personnel to coordinate transition services for infants and toddlers served under this part from a program providing early intervention services under this part and under Part B (other than 20 U.S.C. 1419), to a preschool program receiving funds under 20 U.S.C. 1419, or another appropriate program; and</p> <p>(B) may include--</p> <p>(i) training personnel to work in rural and inner-city areas; and</p> <p>(ii) training personnel in the emotional and social development of young children.</p> <p>(20 U.S.C. 1435(a)(8)(A) and (B))</p>
X		<p>10. The State has policies and procedures relating to the establishment and maintenance of qualifications to ensure that personnel necessary to carry out this part are appropriately and adequately prepared and trained, including the establishment and maintenance of qualifications that are consistent with any State-approved or recognized certification, licensing, registration, or other comparable requirements that apply to the area in which such personnel are providing early intervention services, except that nothing in this part (including this paragraph) shall be construed to prohibit the use of paraprofessionals and assistants who are appropriately trained and supervised in accordance with State law, regulation, or written policy, to assist in the provision of early intervention services under this part to infants and toddlers with disabilities. (20 U.S.C. 1432 and 1435(a)(9))</p>
X		<p>11. The State has a single line of responsibility in a lead agency designated or established by the Governor for carrying out -</p> <p>(A) the general administration and supervision of programs and activities receiving assistance under 20 U.S.C. 1433, and the monitoring of programs and activities used by the State to carry out this part, whether or not such programs or activities are receiving assistance made available under 20 U.S.C. 1433, to ensure that the State complies with Part C;</p> <p>(B) the identification and coordination of all available resources within the State from Federal, State, local, and private sources;</p> <p>(C) the assignment of financial responsibility in accordance with 20 U.S.C. 1437(a)(2) to the appropriate agencies;</p>

ARKANSAS
STATE

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes (Assurance is hereby provided.)	No (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
		<p>(D) the development of procedures to ensure that services are provided to infants and toddlers with disabilities and their families under this part in a timely manner pending the resolution of any disputes among public agencies or service providers;</p> <p>(E) the resolution of intra- and interagency disputes; and</p> <p>(F) the entry into formal interagency agreements that define the financial responsibility of each agency for paying for early intervention services (consistent with State law) and procedures for resolving disputes and that include all additional components necessary to ensure meaningful cooperation and coordination. <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i></p> <p>(20 U.S.C. 1435(a)(10)(A)-(F) and 1440)</p>
X		12. The State has a policy pertaining to the contracting or making of other arrangements with service providers to provide early intervention services in the State, consistent with the provisions of Part C, including the contents of the application used and the conditions of the contract or other arrangements. (20 U.S.C. 1435(a)(11))
X		13. The State has a procedure for securing timely reimbursements of funds used under this part in accordance with 20 U.S.C. 1440(a). <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i> (20 U.S.C. 1435(a)(12) and 1440)
	JUNE 30, 2011	The State has procedural safeguards with respect to programs under this part, as required by 20 U.S.C. 1439. (20 U.S.C. 1435(a)(13)) <i>See Optional Technical Assistance Checklist for applicable provisions of 20 U.S.C. 1415 and 1439.</i>
X		15. The State has a system for compiling data requested by the Secretary under IDEA section 618 that relates to Part C. (20 U.S.C. 1418, 1435(a)(14) and 1442)
X		16. The State has a State interagency coordinating council that meets the requirements of 20 U.S.C. 1441. (20 U.S.C. 1435(a)(15)) <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1441.</i>
X		17. The State has policies and procedures to ensure that, consistent with 20 U.S.C 1436(d)(5): A) to the maximum extent appropriate, early intervention services are provided in natural environments;

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STATE

Check and enter date(s) as applicable		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes (Assurance is hereby provided.)	No (Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)	
		and B) the provision of early intervention services for any infant or toddler with a disability occurs in a setting other than a natural environment that is most appropriate, as determined by the parent and the individualized family service plan team, only when early intervention cannot be achieved satisfactorily for the infant or toddler in a natural environment. (20 U.S.C. 1435(a)(16))
X		18. The State ensures that Federal funds made available under 20 U.S.C. 1443 will be expended in accordance with Part C. (20 U.S.C. 1437(b)(1) and 1438)
X		19. The State ensures that it has methods in place to comply with the requirements of 20 U.S.C. 1440. (20 U.S.C. 1437(b)(2)) <i>State's response should be consistent with Certification #3 below.</i>
X		20. The State ensures that the control of funds provided under 20 U.S.C. 1443, and title to property derived from those funds, will be in a public agency for the uses and purposes provided in this part and that a public agency will administer such funds and property. (20 U.S.C. 1437(b)(3))
X		21. The State ensures that provisions shall be made for-- (A) making such reports in such form and containing such information as the Secretary may require to carry out the Secretary's functions under this part; and (B) keeping such reports and affording such access to the reports as the Secretary may find necessary to ensure the correctness and verification of those reports and proper disbursement of Federal funds under this part. (20 U.S.C. 1437(b)(4))
X		22. The State ensures that the Federal funds made available under 20 U.S.C. 1443 to the State-- (A) will not be commingled with State funds; and (B) will be used so as to supplement the level of State and local funds expended for infants and toddlers with disabilities and their families and in no case to supplant those State and local funds. (20 U.S.C. 1437(b)(5))
X		23. The State ensures that fiscal control and fund accounting procedures will be adopted as may be necessary to ensure proper disbursement of, and accounting for, Federal funds paid under 20 U.S.C. 1443 to the State. (20 U.S.C. 1437(b)(6))

<i>Check and enter date(s) as applicable</i>		Assurances (20 U.S.C. 1434;1435; and 1437(b))
Yes <i>(Assurance is hereby provided.)</i>	No <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i>	
X		24. The State ensures that policies and procedures have been adopted to ensure meaningful involvement of underserved groups, including minority, low-income, homeless, and rural families and children with disabilities who are wards of the State, in the planning and implementation of all the requirements of Part C. (20 U.S.C. 1437(b)(7))
X		25. The State assures that it shall provide other information and assurances as the Secretary may reasonably require by regulation. (20 U.S.C. 1437(b)(8).
		Optional Assurance
X		<p><i>Enter 'NA' in the cells to the left if this assurance is not applicable.</i></p> <p>26. The State has adopted a policy that includes making ongoing good-faith efforts to recruit and hire appropriately and adequately trained personnel to provide early intervention services to infants and toddlers with disabilities, including, in a geographic area of the State where there is a shortage of such personnel, the most qualified individuals available who are making satisfactory progress toward completing applicable course work necessary to meet the standards described in 20 U.S.C. 1435(a)(9). (20 U.S.C. 1435(b))</p>

C. Certifications

The State Lead Agency is providing the following certifications:

Yes	
X	<p>1. The State certifies that ED Form 80-0013, <i>Certification Regarding Lobbying</i>, is on file with the Secretary of Education.</p> <p>With respect to the <i>Certification Regarding Lobbying</i> the State recertifies that no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; that the State shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 CFR Part 82, Appendix B); and that the State Agency shall require the full certification, as set forth in 34 CFR Part 82, Appendix A, in the award documents for all sub awards at all tiers.</p>
X	<p>2. The State certifies that it has met the certifications in the Education Department General Administrative Regulations (EDGAR) at 34 CFR §80.11 relating to State eligibility, authority and approval to submit and carry out the provisions of its State application, and consistency of that application with State law are in place within the State.</p>
X	<p>3. The State certifies that the methods or arrangements to establish financial responsibility for early intervention services provided under Part C pursuant to 20 U.S.C. 1440(b) are current as of the date of this Application certification. (20 U.S.C. 1437(a)(2) and 1440). <i>See Item 9 in Section II.A above regarding including, with this Application for the Secretary's review, 'other appropriate written methods' to meet the requirements of 20 U.S.C. 1440(b). State's response under Assurance #19 above should be consistent with its response to this Certification.</i></p>

D. Statement

I certify that the State of ARKANSAS has provided the policies, procedures, methods, descriptions, and assurances checked as 'yes' in Sections II.A and II.B and the certifications required in Section II.C of this application. These provisions meet the requirements of Part C of the Individuals with Disabilities Education Act as found in PL 108-446 and all applicable regulations in 34 CFR Part 303. The State will operate its Part C program in accordance with all of the required policies, procedures, methods, descriptions, assurances and certifications.

If any policies, procedures, methods, descriptions, and assurances have been checked 'no', I certify that the State will operate throughout the period of this grant award consistent with the requirements of IDEA as found in PL 108-446 and all applicable regulations, and will make such changes to existing policies and procedures as are necessary to bring those policies and procedures into compliance with the requirements of IDEA, as amended, as soon as possible, and not later than June 30, 2011. (34 CFR §76.104)

I, the undersigned authorized official of the

ARKANSAS DEPARTMENT OF HUMAN SERVICES,

(Name of State and official name of State lead agency)

am designated under Part C by the Governor of this State to submit this application for FFY 2010 funds under Part C of the Individuals with Disabilities Education Act (IDEA).

Printed/Typed Name and Title of Authorized Representative of the State:	
Signature:	Date:

Section III

A. Description of Use of Part C Funds for the Lead Agency

When completing this section include:

- Totals for the number of lead agency administrative positions, salaries and fringe benefits funded either 100 percent and/or less than 100 percent with Part C funds;
- A general description of the duties which the positions entail; and
- A subtotal of the amount.

Identify any administrative positions for which less than 100% of the time is spent on Part C and, for each such position, indicate the percentage of time spent on Part C and the total amount of salary and fringe benefits included in the Part C application budget.

Positions Funded	Number of Positions	% of Time Spent on Part C	Salaries & Fringe Benefits	Description of Duties
100% funded with Part C Funds	2 Administrative Assistants	100%	\$85,434.79	Prepares special Early Intervention related projects for supervisor; conducts studies and prepares reports on subjects relevant to Early Intervention; taking notes and transcribes minutes/summaries of ICC meetings/subcommittee meetings; provides support and technical assistance to Governor's Interagency Coordinating Council; helps prepare analysis, reports and recommendations for the Council; provides reports and recommendations to the Coordinator; collects data from various sources; upon request contacts public officials involved with the early intervention program.
	10 Secretary		\$308,122.19	
	6	100%		Reads incoming correspondence and routes as needed; composes routine correspondence; gathers files and other pertinent data to facilitate answering correspondence by supervisor; answers telephone and provides information for routine questions; maintains appointment calendar, makes travel arrangements; keeps supervisor and other staff aware of scheduled meetings; maintains files containing confidential materials; types correspondence from rough draft for staff; inventories and orders office supplies; performs other duties as assigned.
	4	50%		

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	1 Health Care Analyst II	50%	\$25,855.00	Provides administrative oversight and act as a liaison between CMS (Children's Services) & DDS, assist staff with administrative functions, Timekeeper for department, and inventories all equipment, orders supplies and coordinate purchase activities.
< 100% funded with Part C Funds	2 Program Consultants	100%	\$96,730.56	Provides technical assistance and consultation to staff, providers and eligible infants and toddlers and their families in the area of parent/child interaction; conducts training; assists in developing training packets; provides technical assistance to committees/task forces and service providers; conducts monitoring and supervision activities for service coordinators and service providers and performs other duties as assigned.
	1 Speech Pathologist	100%	\$80,181.08	Provides consultation and training related to therapeutic/developmental services to eligible infants/toddlers, providers and parents; provides technical assistance on committees related to early intervention services, serves as consultant for assistive technology, evaluation and programming techniques.

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	1 Program Administrator	100%	\$67,589.67	Participates in the establishment of goals and objectives and short and long-range plans, develops and implements program policies, procedures, and projects, evaluates program and/or service delivery effectiveness and compliance, initiates corrective actions and revisions, and provides technical direction and administrative support to program personnel. Disseminates and interprets laws, policies, and procedures. Investigates and resolves complaints and monitors and analyzes statewide activities to identify trends, problems, and progress.
	1 Part C Coordinator	100%	\$60,210.49	The Part C Coordinator coordinates the refinement of the Early Intervention system to provide services to infants and toddlers with disabilities and their families. The Part C Coordinator develops standards which apply to services and programs providing services to infants and toddlers with disabilities and their families. He/she coordinates quality assurance activities and provides reports and recommendations to the Division Director, and the Assistant Director. He/she provides support and technical assistance to the Arkansas Interagency Coordinating Council on Early Intervention; prepares and analyses, reports and makes recommendations for the Council; and provides or secures training or orientation to the Council on the objectives and methods for the program
	1 Program Coordinator	100%	\$50,311.02	Assists in the identification of resources to fund the early intervention program. Facilitates the development of the contract/voucher process and tracks expenditures for direct services.

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	1 Data Manager	100%	\$65,134.22	<p>Manages the flow of data entry and data reporting. Collaborate with Information Technology personnel to create federal reports using reported data. Provide training and technical assistance of the use of the web based system (Special Education Automation Systems (SEAS). Provides technical assistance to staff concerning Early Intervention and monitors to assure compliance with Part C requirements.</p> <p>Also participates in all training and data collecting activities. Provides computer and data support to the early intervention program. Assists in technical assistance to the staff service coordinators.</p>
	1 Assistant Director	40%	\$38,926.11	<p>Provides overall administrative oversight to the Early Intervention Program. Assures staff performs required functions in an acceptable time manner.</p>
Subtotal of amount under A:			\$878,495.13	

Section III (Continued)

B. Maintenance and Implementation Activities for the Lead Agency

When completing this section include:

- A description of the nature and scope of each major activity to be carried out under Part C in maintaining and implementing the statewide system of early intervention services. Activities could include enhancing the Comprehensive System of Personnel Development, implementing child find strategies, or ensuring a timely, comprehensive, multidisciplinary evaluation for each child;
- The approximate amount of funds to be spent for each activity; and
- A subtotal of the amount.

(Add columns and rows as needed.)

Major Activity	Part C Funds to be Spent	Description of Activities
Central Directory	\$ 5,000.00	The Lead Agency maintains a directory of services for each county on a statewide basis. A toll-free phone line is maintained for consumer use.
Administration : Monitoring & Technical Assistance	\$236,703.00	The Lead Agency provides staff to perform administrative functions as well as monitoring, technical assistance and in-service training activities to staff, providers, and families of eligible infants and toddlers.
Quality Assurance	\$157,802.00	
In-Service Training	\$25,000.00	
Maintenance & General Operation	\$ 60,000.00	Funds are to be utilized to provide travel expenses and supplies/materials required to provide Part C Services.
Local Interagency Coordinating Council (LICC) Operation	\$ 20,000.00	Funds provided to LICC's to enhance access to services and public awareness activities.
Comprehensive System of Personnel Development	\$ 5,000.00	Funds provided to CSPD to reimburse members for costs necessary to enable members to attend meetings and fund training initiatives.
Subtotal of amount under B:	\$509,505.00	

Section III (Continued)

C. Description of Use of Part C Funds for the Interagency Coordinating Council (ICC)

When completing this section include:

- Totals for the number of ICC administrative positions, salaries and fringe benefits funded either 100 percent and/or less than 100 percent with Part C funds;
- A general description of the duties which the positions entail; and
- A subtotal of the amount.

Identify any administrative positions for which less than 100% of the time is spent on Part C and, for each such position, indicate the percentage of time spent on Part C and the total amount of salary and fringe benefits included in the Part C application budget.

Positions Funded	Number of Positions	% of Time Spent on Part C	Amount of Salaries & Fringe Benefits	Description of Duties
100% funded with Part C Funds	1 ICC Developer	100%	\$46,387.09	Promotes collaboration and communication among community providers and between local ICC's and the council. Provides technical assistance in the development or expansion of ICC programs and/or develops program proposals and descriptions. Maintains proposed program records and information, and helps prepare local ICC and Council annual reports. Assists with recruitment and retention of parent representatives for the ICC and orient new members.
< 100% funded with Part C Funds				
Subtotal of amount under C:			\$46,387.09	

Section III (Continued)

D. Maintenance and Implementation Activities for the Interagency Coordinating Council (ICC)

When completing this section include:

- A description of the nature and scope of each major activity to be carried out under Part C in maintaining and implementing the statewide system of early intervention services. Activities could include coordinating child find identification efforts, ensuring the timely provision and payment of early intervention services to eligible children and their families, advising on early childhood transition, support for the ICC (travel), or other implementation and development activities of the SICC;
- The approximate amount of funds to be spent for each activity; and
- A subtotal of the amount.

(Add columns and rows as needed.)

Major Activity	Part C Funds to be Spent	Description of Activities
Support for ICC	\$ 5000.00	The AICC utilizes to reimburse members of the council for reasonable and necessary expenses for attending council meeting and performing council duties, including child care for parent representatives).
Subtotal of amount under D:	\$ 5000.00	

Section III (Continued)

E. Direct Services (Funded by Part C Federal Dollars)

When completing this section include:

- A description of any direct early intervention service that the State lead agency expects to provide to eligible children and their families with funds under this part, including a description of any services provided to at-risk infants and toddlers and their families for States that provide services to at-risk children as part of its eligibility criteria. The description must include information about each type of service to be provided, including:
 - A summary of the methods to be used to provide the service (e.g., contracts or other arrangements with specified public or private organizations); and
 - The approximate amount of funds under this part to be used for the direct provision of early intervention services.

Provide subtotals of the amount and for salaries and fringe benefits for direct service employees (discipline). *(Add columns and rows as needed.)*

Direct Service	Part C Funds to be Spent	Summary of Methods to be Used to Provide Service
Assistive Technology Services	\$10,000.00	A service that directly assists a child with a disability in the selection, acquisition, or use of an assistive technology device. Assistive technology device means any item, piece of equipment, or product system, whether acquired commercially off the shelf, modified or customized that is used to increase maintain, or improve the functional capabilities of children with disabilities. Assistive technology services include: the evaluation of the needs of a child with a disability including functional evaluation of the child in the child's customary environment; purchasing, leasing or otherwise providing for the acquisition of assistive technology devices by children with disabilities; selecting, designing, fitting, customizing, adapting, applying, maintaining, repairing or replacing assistive technology devices, coordinating and using other therapies, interventions, or services with assistive technology devices, such as those associated with exiting education and rehabilitation plans and programs; training or technical assistance for a child with disabilities, or if appropriate, that child's family; and training or technical assistance for professionals (including individuals providing early intervention services) or other individuals who provide services to, or are otherwise substantially involved in the major life functions of individuals with disabilities.

Audiology Services	\$ 2,000.00	Services provided by public/private providers including; Identification of children with auditory impairment, using at risk criteria and appropriate audiological screening techniques; determination of the range, nature and degree of hearing loss and communication functions, by use of audiological evaluation procedures; referral for medical and other services necessary for the habilitation or rehabilitation of children with auditory impairment; provision of auditory impairment; provision of auditory training, aural rehabilitation, speech reading and listening device orientation and training, and other services; provision of services for prevention of hearing loss; and determination of the child's need for individual amplification, including selecting, fitting and dispensing appropriate listening and vibrotactile devices, and evaluation effectiveness of those devices.
Family Training, Counseling, & Home Visits	\$ 2,000.00	Family training, counseling, and home visits means services provided, as appropriate, by social workers, psychologist, and other qualified personnel to assist the family of a child eligible under this part in understanding the special needs of the child and enhancing the child's development.
Health Services	\$ 2,000.00	As used in this part, health services means services necessary to enable a child to benefit from the other early intervention services under this part during the time that the child is receiving the other early intervention services. The term includes such services as clean intermittent catheterization, tracheotomy care, tube-feeding, the changing of dressings or ostomy collection bags, and other health services; and consultation by physicians with other service providers concerning the special health care needs of eligible children that will need to be addressed in the course of providing other early intervention services. The term does NOT include services that are surgical in nature (such as cleft palate surgery, surgery for club foot, or the shunting of hydrocephalus); or purely medical in nature (such as hospitalization for management of congenital heart ailments, or the prescribing of medicine or drugs for any purpose); devices necessary to control or treat a medical condition (example: diapers for a child who has frequent kidney problems); medical-health services (such as immunizations and regular "well baby" care) that are recommended for all children.

Medical Services	\$ 1,500.00	Medical services are only for diagnostic or evaluation purposes and means services provided by a licensed physician to determine a child's development status and need for early intervention services.
Nursing Service	\$2,000.00	Nursing services includes: The assessment of health status for the purpose of providing nursing care, including the identification of patterns of human response to actual or potential health problems; Provision of nursing care to prevent health problems, restore or improve functioning, and promote optimal health and development; Administration of medication, treatments and regimens prescribed by a licensed physician.
Nutrition Service	\$ 1,000.00	Nutrition services includes conducting individual assessments in: Nutritional history and dietary intake; Anthropometric, biochemical and clinical variables; Feeding skills and feeding problems; and food habits and food preferences; developing and monitoring appropriate plans to address the nutritional needs of children eligible, based on the findings in paragraph (d) (7) (i) of this section; and making referrals to community resources to carry out nutrition goals.
Occupational Therapy Service	\$ 206,173.87	Occupational therapy includes services to address the functional needs of a child related to the performance of self-help skills, adaptive behavior and play and sensory, motor and postural development. These services are designed to improve the child's functional ability to perform tasks in home, school and community settings, and include: Identification, assessment, and intervention; adaptation of the environment and selection, design, and fabrication of assistive and orthotic devices to facilitate development and promote the acquisition of functional skills and; prevention or minimization of the impact of initial or future impairment, delay in development or loss of functional ability.

Physical Therapy Service	\$254,173.88	Physical therapy includes: Screening/evaluation of infants and toddlers to identify movement dysfunction; identification, assessment and intervention; obtaining, interpreting and integrating information appropriate or program planning, to prevent alleviate, or compensate for movement dysfunction and related functional problems.
Psychological Services	\$ 1,000.00	Psychological Services include: Administering psychological and developmental tests and other assessment procedures; interpreting assessment results; obtaining, integrating and interpreting information about child behavior, and child and family conditions related to learning, mental health and development; and planning and managing a program of psychological services, including psychological counseling for children and parents, family counseling, consultation of child development, parent training and education programs.
Social Work Service	\$ 1,000.00	Social works services includes: Making home visits to evaluate a child's living conditions and patterns for parent-child interaction; Preparing a social or emotional developmental assessment of the child within the family context, providing individual and family-group counseling with parents and other family members, and appropriate social skill-building activities with the child and parents; working with those problems in a child's and family's living situation (home, community, and any center where early intervention services are provided) that affect the child's maximum utilization of early intervention services; and Identifying, mobilizing and coordinating community resources and services to enable the child and family to receive maximum benefit from early intervention services.

Special Instruction Service	\$ 635,434.51	Special instructions includes: The design of learning environments and activities that promote the child's acquisition of skills in a variety of developmental areas. Including cognitive processes and social interaction; of personnel, materials, and time and space, that leads to achieving the outcomes in the child's individualized family service plan (IFSP); providing families with information, skills, and support related to enhancing the skill development of the child; and providing direct one to one instruction to the child and parent/caregiver to enhance the child's development identified and documented on the IFSP.
Speech-Language Pathology Service	\$ 693,173.88	Speech-language pathology includes: Identification of children with communicative or oro-pharyngeal disorders and delays in development of communication skills, including the diagnosis and appraisal of specific disorders and delays in those skills; referral for medical or other professional services necessary for the habilitation or rehabilitation of children with communicative or oro-pharyngeal disorders and delays in development of communication skills; provision of services for the habilitation, rehabilitation or prevention of communicative or oro-pharyngeal disorders and delays in development of communication skills; provisions of consultation services to staff/parents for utilization of specific techniques to enhance the development of communication skills.
Transportation	\$7,866.19	As used in this part, transportation includes the cost of travel (e.g., mileage, or travel by taxi, common carrier, or other means) related costs (e.g., tolls and parking expenses) that are necessary to enable a child eligible under this part and the child's family to receive early intervention services.

Vision Service	\$ 1,000.00	Vision services include: Evaluation and assessment of visual functioning, including the diagnosis and appraisal of specific visual disorders, delays and abilities; referral for medical or other professional services necessary for habilitation or rehabilitation of visual functioning disorders, or both, and communication skills training, orientation and mobility training for all environments; visual training independent living skills training; and additional training necessary to activate visual motor abilities.
Specialized Evaluation	\$ 2,000.00	Specialized Evaluation services necessary for diagnostic purposes to assist the IFSP Team in developing and implementing an appropriate plan of services. Specialized evaluation services must be based on need as documented on the Individual Family Service Plan (IFSP), and may include all necessary expenses associated with the required specialized evaluation.
Subtotal of amount under E:	1,822,322.33	

Direct Service Employees (Discipline)	Salary and Fringe	% Part C	Description of Duties
Service Coordination 11 Staff	\$570,609.45	100%	<p>Service Coordination means that the activities carried out by a service coordinator to assist and enable a child eligible and the child's family to receive the rights, procedural safeguards, and services that are authorized to be provided under the First Connections Program. Each eligible child and the child's family will be provided with one service coordinator who is responsible for coordinating all services across agency lines and serving as the single point of contact in helping parents to obtain the services and assistance they need.</p> <p>The First Connections Program provides service coordination through employed and contracted personnel. Each service coordinator must complete a twenty one hour training course and pass a competency-based test with a minimum score of 70. Each service coordinator must possess a bachelor's degree in education, social work, nursing or a related field, or a Case Manager Certification in addition to specialized training and a score of 70.</p>
Sub Total:	\$570,609.45	100%	

Section III (Continued)

F. Description of Optional Use of Part C Funds (For States that Do Not Provide Direct Service for At-Risk Infants and Toddlers)

For any State that does not provide direct services for at-risk infants and toddlers under 20 U.S.C. 1437(a)(4), but chooses to use funds under 20 U.S.C. 1438(5), each Application must include a description of how these funds will be used. Specifically, a State may use Part C funds for initiating, expanding, or improving collaborative efforts related to at-risk infants and toddlers, including establishing linkages with appropriate public or private community-based organizations, services, or personnel for the purpose of:

- Identifying and evaluating at-risk infants and toddlers;
- Making referrals of at-risk infants and toddlers who are identified and evaluated; and
- Conducting periodic follow-up on at-risk infants and toddlers to determine if the status of the infant or toddler's eligibility for Part C services has changed.

Provide a subtotal of the amount. *(Add columns and rows as needed.)*

Description of Activity	Amount of Funds
Subtotal of amount under F:	\$ 0

Section III (Continued)

G. Activities by Other Agencies

If other State or local public agencies are to receive a portion of the Federal funds under Part C, the Application must include:

- The name of each public agency expected to receive funds;
- The approximate amount of funds each public agency will receive; and
- A summary of the purposes for which the funds will be used.

Provide subtotal of amount. *(Add columns and rows as needed.)*

Agency Receiving Funds	Amount of Funds	Purpose
Subtotal of amount under G:	\$ 0	

Section III (Continued)

H. Totals

Enter the subtotal amounts for Sub Sections A-G found in Section III and any indirect costs charged as specified in Section IV.B. The sub total amounts (Rows 1-8) should total the estimated grant application amount. (A State may apply for less than the full estimated allotted amount.)

Enter the subtotal amounts for Sub Sections A-G found in Section III of this application.		
Row No.	Section	Amount
1.	III.A.	\$878,495.13
2.	III.B.	\$509,505.00
3.	III.C.	\$46,387.09
4.	III.D.	\$5,000.00
5.	III.E. <i>(Direct Service)</i>	\$1,822,322.33
	III.E. <i>(Direct Service Employees)</i>	\$570,609.45
6.	III.F.	\$0
7.	III.G.	\$0
Enter any Indirect Costs to be Charged to FFY 2010 Funds (See Section IV.B of this application.)		
8.	IV.B	\$165,139.00
Total (Rows 1-8)		\$3,997,458.00

Section IV

A. System of Payments / Use of Insurance / Program Income

The State

_____ does (check as applicable)

☒X_____ does not (check as applicable)

have a system of payments policy for Part C services under 20 U.S.C. 1432(4)(B), which policy may include use of public insurance and benefits, private insurance, or family fees, such as a sliding scale, to pay for Part C services. Any family fees are treated as 'program income' for purposes of 34 CFR §80.25 and are not included in the State's determination of State and local expenditures for purposes of 20 U.S.C. 1437(b)(5)(B).

Note: If the State has adopted new or has revised its existing policies and procedures regarding its system of payments, it must submit these new and/or revised policies and procedures under Item 7 in Section II.A above.

B. Restricted Indirect Cost Rate/Cost Allocation Plan Information

(Note: To be completed if Lead Agency is not a State Educational Agency.)

If the lead agency is not a State educational agency (as well as any outlying areas that have the Department of Interior as its cognizant Federal agency, even if an SEA) check the applicable status below (more than one check mark may be necessary) and enclose appropriate documentation for this Federal Fiscal Year.

☒X_____ The lead agency has a final restricted indirect cost rate or cost allocation plan that has been approved by the State lead agency's cognizant Federal agency and is in effect for this Federal fiscal year (FFY) (ending on June 30, 2011). (Attach a copy of the approved restricted indirect cost rate agreement or cost allocation plan.)

_____ The lead agency has either a provisional or final restricted indirect cost rate or cost allocation plan that expires or expired on _____ and the State is in the process of negotiating a new restricted indirect cost rate agreement or cost allocation plan that will be in effect for the period _____.² The State lead agency will continue to charge or bill the Part C grant using the provisional or previously approved final restricted indirect cost rate or cost allocation plan until a new rate or plan is negotiated and approved by the State's cognizant Federal agency, at which point the State lead agency must make appropriate adjustments for applicable FFYs. The State acknowledges that a final restricted indirect cost rate may result in an adjustment of the final audited expenditures allowable to be charged to the Part C grant and the Department's approval of this FFY Part C application with an expired or provisional restricted indirect cost rate does not constitute approval of that rate as the final rate for the lead agency for this FFY. When a final restricted indirect cost rate is approved, the lead agency must submit to OSEP: (1) a copy of the "final" restricted indirect cost rate agreement; and (2) details of adjustments made to past GAPS draw downs in light of the "final" rate. (Attach a copy of the previously approved restricted indirect cost rate agreement or cost allocation plan.)

_____ No indirect costs are charged to the Part C grant. The total amount of the Federal Part C grant is used for allowable direct costs.

_____ Other, explanation attached.

² A "provisional" indirect cost rate is a temporary rate established for a future prospective period of time to permit budgeting, obligations, and payment of funds by awarding agencies until such time as the actual indirect costs can be determined and a final rate is established for the applicable period; provisional rates are subject to adjustment by issuance of a "final" rate based on actual indirect costs incurred for the period (usually the organization's fiscal year).